



## YOUTH COMMUNITY CORRECTIONS BUREAU STANDARD OPERATING PROCEDURES

Procedure No.: YCC 10-5	Subject: <b>CASE RECORD AUDITING</b>
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Applicable ACA Standards: 2-7013, 2-7045, 2-7070, 2-7127, 2-7128, 3-JCRF-1E-03	Revision Date: 03-2003, 01-09-06, 11-06-06, 11-23-07, 10-10-08, 01-06-09, 08-17-09
Signature: /s/ Karen Duncan	Effective Date: 12-31-02
Signature: /s/ Steve Gibson	

### I. BUREAU DIRECTIVE:

The Youth Community Corrections (YCC) Bureau will establish procedures to conduct case file audits and reviews to assure compliance with related Department policies, that staff performance is in accordance with all applicable standards and statutory requirements, and that quality programming is offered to all youth. This procedure will be reviewed annually and updated as needed.

### II. DEFINITIONS:

**Audit** - a process by which the Bureau Chief or Juvenile Parole Officer II (JPO II) reviews youth files to ensure supervision standards are met and files are organized according to applicable Bureau procedures.

**Case Record** - the paper or computerized youth record created and maintained by Juvenile Parole Officers. The Case Record includes those records required in [YCC 60-20, Uniform File Organization](#), and youth information maintained in [YCC 60-1, Case Management Overview](#).

### III. PROCEDURES:

- A. The audits will be designed to ensure that case records are current and that appropriate and accurate materials are being entered and maintained in youth files.
- B. The YCC Bureau Chief or JPO IIs will be authorized to conduct case record audits. Audits will be conducted annually on the higher number; either 25% of youth under JPO's direct supervision during the past year, but no less than 4 files and no more than 6. If in the past year there were less than four cases on direct supervision, audit other files of youth on indirect or shared supervision, in that order. Audits will be kept in the supervisor's file and copies will be forwarded to the YCC Bureau Chief and the JPO.
- C. The Youth Transition Center Director or Program Manager will be authorized to conduct case record audits (equates to case file audit) at the Youth Transition Centers. Audits will be conducted at least monthly. The audit will be kept in the officer's file maintained by the supervisor and copies will be forwarded to the YCC Bureau Chief.
- D. The content of all youth case records will be maintained in compliance with [DOC 1.5.5, Case Records Management](#) and [YCC 1.5.5, Case Records Management](#). Case record

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audits will refer to [YCC 60-20, Uniform File Organization](#) to ensure that the content and organization of youth case records comply with Department requirements.

- E. Supervisors will review audit results with the officer assigned to the case record. The audit form will specifically identify deficiencies that require rectifying. If a deficiency was noted in a previous audit and the deficiency was not corrected, the reasons will be noted. If additional resources are needed to correct an audit deficiency, the audit form will identify them. Audit results will be used in annual performance evaluations.

F.	STEPS:	RESPONSIBILITY:
1.	Responsible for organizing field file, ensuring all documents are up to date and supervision standards are being met.	JPO
2.	Audits will be conducted annually on the higher number; either 25% of youth under JPO's direct supervision during the past year, but no less than 4 files and no more than 6. If in the past year there were less than four cases on direct supervision, audit other files of youth on indirect or shared supervision, in that order.	JPO II or Bureau Chief
3.	Audit random youth files using Form <a href="#">YCC 10-5 (A) Youth Case File Audit</a> to determine if standards are being met and procedures are being followed. Supervisor will sign completed audit. The original audit is kept in the officer's file maintained by the supervisor and a copy is given to the officer and YCC Bureau Chief.	JPO II or Bureau Chief
4.	Cases not meeting standards will be noted on audit form. The officer is given opportunity to discuss/explain any deficiencies.	JPO II or Bureau Chief
5.	Recheck files "not meeting standards" within three months to ensure appropriate action has been taken to correct deficiencies.	JPO II or Bureau Chief
6.	Completed audit forms will be maintained by supervisor in the supervisor's file of employee information.	JPO II or Bureau Chief

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**IV. CLOSING:**

Questions concerning this procedure shall be addressed to the Youth Community Corrections Bureau Chief.

**V. REFERENCES:**

<a href="#"><u>53-1-203, MCA</u></a>	<a href="#"><u>Powers and Duties of Department of Corrections</u></a>
<a href="#"><u>DOC 1.5.5</u></a>	<a href="#"><u>Case Records Management</u></a>
<a href="#"><u>DOC 1.5.7</u></a>	<a href="#"><u>Case Record Auditing</u></a>
<a href="#"><u>YCC 1.5.5</u></a>	<a href="#"><u>Case Records Management</u></a>
<a href="#"><u>YCC 1.5.7</u></a>	<a href="#"><u>Case Record Auditing</u></a>

**VI. ATTACHMENTS:**

[YCC 10-5 \(A\) Youth Case Field File Audit Form](#)